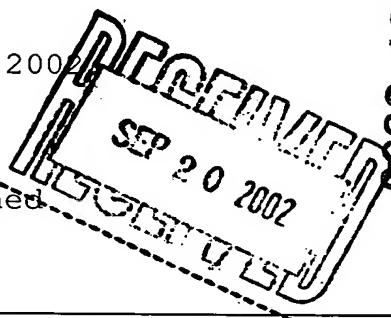


2164  
#2  
BT  
9-20-02



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re  
U.S. application of: Kenneth C. GRIFFIN  
  
For: METHOD AND APPARATUS FOR  
MAINTAINING A UNIFORM NET  
ASSET VALUE PER SHARE OR UNIT  
  
U.S. Serial No.: 10/044,519  
Confirmation No.: 5137  
Filed: January 11, 2002  
Group Art Unit: 2164  
Examiner: To Be Assigned



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GROUP 3600

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.	
September 10, 2002	_____
Date of Deposit	_____
Dale B. Nixon	_____
Name of Applicant, Assignee, or Registered Representative	_____
<i>Dale B. Nixon</i>	_____
Signature	_____
September 10, 2002	_____
Date of Signature	_____

INFORMATION DISCLOSURE STATEMENT

In compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, Applicant wishes to bring the following items to the attention of the Examiner. A copy of each document is enclosed for the convenience of the Examiner.

No representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of this material in any way reflects its relative pertinence. The references cited are not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that the items listed below are properly citable against the above-identified application.

Applicant wishes to bring the following document to the attention of the Examiner:

- (1) Anthony J. Stocks, ACCOUNTING FOCUS, "THE INS AND OUTS OF INCENTIVE FEES", published in 1994, pgs. 6 and 7;

Submitted herewith is a copy of an International PCT Search Report dated August 26, 2002, relating to the corresponding PCT patent application of the above-identified U.S. patent application. The International Search Report cites the following references:

- (2) Durbin et al., U.S. Patent No. 4,933,842, issued June 12, 1990;
- (3) Boes, U.S. Patent No. 5,193,056, issued March 9, 1993;
- (4) Koppes et al., U.S. Patent No. 5,926,792, issued July 20, 1999;
- (5) Tull, Jr. et al., U.S. Patent No. 5,946,667, issued August 31, 1999;

- (6) Kiron et al., U.S. Patent No. 6,088,685, issued July 11, 2000;
- (7) "J.P. Morgan, Merrill, CSFB Take Stakes in Hedge Site", American Banker, August 15, 2000, vol. 165, issue 156, pg. 8; and
- (8) Jenne Mannion, "Fortune-hunters quit top posts to hedge their bets", Scotland on Sunday, October 22, 2000, pg. B13.

The International Search Report placed document (2) in category "X" with regard to claims 1-14, citing the abstract; column 1, line 28 - column 2, line 26; column 4, line 55 - column 5, line 32; column 12, lines 7-46.

The International Search Report placed document (3) in category "X" with regard to claims 1-14, citing the abstract; column 1, lines 6-25; column 2, lines 48-65; column 3, lines 22-61; column 4, lines 6-61.

The International Search Report placed document (4) in category "Y" with regard to claims 1-14, citing the abstract; column 4, lines 17-26, 53-57; column 5, lines 4-11.

The International Search Report placed document (5) in category "X" with regard to claims 1-14, citing the abstract; column 3, lines 5-13, 46-62; column 4, line 61; - column 5, line 3.

The International Search Report placed document (6) in category "X" with regard to claims 1-3, 6, 10, 14, citing column 1, lines 23-29; column 7, lines 7-17.

The International Search Report placed document (7) in category "Y" with regard to claims 1-14; citing the abstract and the text.

The International Search Report placed document (8) in category "X" with regard to claims 1-14; citing the abstract.

Document in category "X" is defined as documents of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone.

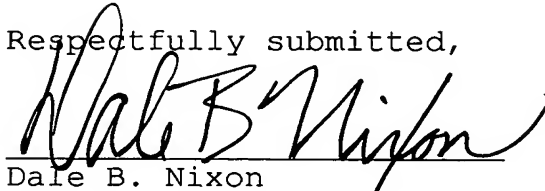
Documents in category "Y" are documents of particular relevance in that the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

As this Information Disclosure Statement is being filed within three months of the references being first cited in a communication from a foreign patent office for a counterpart foreign patent application, and additionally, as a first office action on the merits has not been received, no fee is incurred. If it should be determined that a fee is required, please charge any required fee (other than the issue fee) during the pendency of this application to Deposit

Serial No. 10/044,519

Account No. 18-1260. Please credit any overpayment to .  
Deposit Account No. 18-1260.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Dale B. Nixon", written over a horizontal line.

Dale B. Nixon

Registration No. 28,454

Attorney for Applicant

DBN/rb

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September 10, 2002

Substitute for form 1449A/PTO				<b>Complete if Known</b>				
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number		<b>10,044,519</b>		
				Confirmation Number		<b>5137</b>		
				Filing Date		<b>January 11, 2002</b>		
				First Inventor		<b>Kenneth C. GRIFFIN</b>		
				Group Art Unit		<b>2164</b>		
				Examiner Name		<b>To Be Assigned</b>		
Attorney Docket No.		<b>04110/00202</b>						
<b>U.S. PATENT DOCUMENTS</b>								
Examiner Initials	Cite #	DOCUMENT NUMBER	C O D E	PATENTEE	ISSUE DATE (mm/dd/yy)	CLASS	SUB CLASS	Filing Date if Appropriate
	(2)	4,933,842		Durbin et al.	06/12/1990	364	408	
	(3)	5,193,056		Boes	03/09/1993	364	408	
	(4)	5,926,792		Koppes et al.	07/20/1999	705	4	
	(5)	5,946,667		Tull, Jr. et al.	08/31/1999	705	36	
	(6)	6,088,685		Kiron et al.	07/11/2000	705	36	
<b>FOREIGN PATENT DOCUMENTS</b>								
Examiner Initials		O F F I C E	NUMBER	C O D E	PUBLICATION/ISSUE DATE (mm/dd/yy)	TRANSLATION Yes                  No		
<b>OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS</b>								
Examiner Initials		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published						
	(1)	Anthony J. Stocks, <u>ACCOUNTING FOCUS</u> , "THE INS AND OUTS OF INCENTIVE FEES", published in 1994, pgs. 6 and 7						
	(7)	"J.P. Morgan, Merrill, CSFB Take Stakes in Hedge Site", <u>American Banker</u> , August 15, 2000, vol. 165, issue 156, pg. 8						
	(8)	Jenne Mannion, "Fortune-hunters quit top posts to hedge their bets", <u>Scotland on Sunday</u> , October 22, 2000, pg. B13						
Examiner Signature					Date Considered			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.

